City of Hartford

Purchasing Card Program
Pilot Program
Pre-Audit Department Manual

V 3.2

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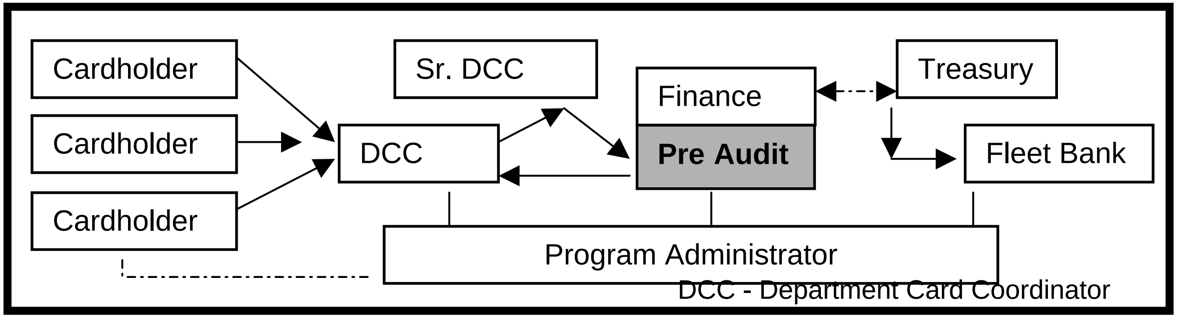
NOTE: The information and forms contained in the appendices may be updated from time to time. The latest revisions will always be available on the web at: http://www.hartford.gov/purchasing/P_Card.htm

Overview

The City of Hartford Purchasing Card (P-Card) program is a procurement tool that increases efficiency in the purchasing process, reduces administrative costs and improves managerial control.

The Purchasing Card Program substitutes credit cards for non-purchase orders (NPO's), requisition invoices (RI's) and small dollar purchase orders. Employees approved by administrators in both their department and the Finance Department, are issued a MasterCard, provided by Fleet Bank. These employees use their P-Cards to purchase job-related merchandise on behalf of the City of Hartford or for business related travel needs.

A GRAPHICAL VIEW OF WHERE PRE-AUDIT FITS IN THE P-CARD PROGRAM:



Daily, weekly and monthly cardholder activity is monitored using an internet-based application called Smart Data Online ("SDOL"). SDOL allows personnel in participating City departments and in the Finance Department to run reports, track activity, and integrate transaction data into the City's accounting software (SmartStream).

The P-Card utilizes electronic processing to create efficiencies. The P-Card program's goal is to reduce or eliminate certain types of paper-based processing, thereby saving City employees time and effort. The P-Card is not intended to change what items are purchased — only the method by which they are paid.

Throughout the life of the program, you may refer to the City's P-Card homepage at http://www.hartford.gov/purchasing/P_Card.htm for manuals, forms, news, updates, and other P-Card related materials.

Smart Data Online

Whenever a P-Card is used for purchases, information on that transaction (dollar amount, date, vendor, card number, etc.) is automatically transmitted to MasterCard. P-Card transactions generally become available in SDOL within seventy-two hours after they are made, and appear with all relevant information (dollar amount, date, vendor, partial card number, etc.). In SDOL, users will associate unique information with individual transactions. SDOL also offers the City the ability to export transaction information and incorporate it into SmartStream.

In the City of Hartford's P-Card program, SDOL access will be available to cardholders, Department Card Coordinators, Finance, department heads, and higher. SDOL is accessed through a user ID and password, both of which are distributed by the Program Administrator when a cardholder joins the P-Card program.

Users may logon to the SDOL website at https://sdol.fleet.com

Hierarchy

The City's purchasing card program is organized according to a hierarchical plan. This hierarchy is built into the SDOL application, and serves as a framework for reporting as well as the card program structure.

Please refer to the charts located in Appendix A for a breakdown of program responsibilities according functional area.

Cardholder

Any individual who has applied for and received a P-Card is considered a cardholder.

Once the cardholder has attended a Cardholder Training session, signed a Cardholder Agreement, and received a card, he/she is ready to being using the P-Card.

The cardholder retains receipts and all other documentation for each transaction (noting where/how the item was used). The cardholder submits this documentation weekly, at a minimum to their designated P-Card Coordinator. Appendix B outlines the processing cycle schedule and deadlines for cardholders to submit transaction documentation to their Coordinator. The cardholder, or an assigned designee, is responsible for verifying the purchases on SDOL. The cardholder is not responsible for voluntarily limiting his spending, unless otherwise instructed by his Department Card Coordinator or the Program Administrator.

Department Card Coordinator (DCC)

Each department has designated one or more persons to perform the duties of Department Card Coordinator. The Department Card Coordinator is responsible for all aspects of the P-Card program within his/her department. These responsibilities include naming cardholders, supervising card activity, approving P-Card transactions for payment, and providing required payment-related information to the Finance Department in a timely manner.

The Department Card Coordinator is also authorized to issue instructions to his/her cardholders on how to use the P-Card, what to purchase with the P-Card, etc. The Department Card Coordinator is expected to cooperate with the Program Administrator when developing and enforcing departmental "P-Card policies." The Program Administrator must receive written copies of all departmental P-Card policy.

Please note that a Department Card Coordinator should never approve of his/her own card activity. When the policies described in this manual and/or the Program Manual creates a situation in which the Department Card Coordinator would approve his/her own card activity. Likewise, the Department Director should defer to his/her assistant director and ask the assistant to perform the review and approval when the director has P-Card activity.

Program Administrator

The Program Administrator directs all aspects of the City's Purchasing Card Program in all departments. The Program Administrator is responsible for the entire P-Card program including oversight, staff coordination, communication with department-level users and cardholders, and the overall growth and direction of the program.

The Program Administrator is additionally responsible for directing the use of City of Hartford P-Cards in an efficient fashion, including analyzing City P-Card policy and recommending changes as necessary. To this end, the Program Administrator also plays a role in selecting cardholders.

The Program Administrator serves as your first point of contact for all P-Card related issues, including SDOL-related issues. See Appendix C for contact information for the Program Administrator

Cardholder Application Procedures

The Cardholder Application form and procedure may be found at the City's P-Card homepage: http://www.hartford.gov/purchasing/P_Card.htm.

The Finance Director and Program Administrator both have the opportunity to approve or deny the application. The Program Administrator additionally has the opportunity to modify the Department Card Coordinator's recommended spending and MCC limits, although this step will only be taken after consultation with the Department Card Coordinator.

The approved applicant must attend a cardholder training session and sign the City's Cardholder Agreement before receiving his/her plastic. When the new cardholder receives a card, the Program Administrator sends a memo to the department's director and department card coordinator informing them that the account has become active.

Cardholder Spending

P-Cards can be configured to prohibit spending greater than a specified ceiling over a specified period of time. Spending limits have been set on a per transaction and monthly level. (i.e., $2500 per transaction; $5000 per billing cycle). The per-transaction limit is mandatory for all City of Hartford P-Cards level.

Documentation

By law, the City of Hartford is required to keep supporting documentation for all disbursements. Under the old system, receiving reports and invoices fulfilled this requirement. Under the P-Card program, transaction documentation fulfills this requirement.

Each cardholder is trained on what constitutes “acceptable documentation” in the Cardholder Training program. Packing slips (for mail, phone, fax, or internet orders) or order forms (for mail or fax orders) may be used as documentation. In most cases, however, a simple sales receipt suffices. Acceptable documentation must be itemized (i.e., list all items purchased separately), and must include pricing information.

Each cardholder retains documentation for each transaction, and submits it to their department card coordinator, at a minimum, on a weekly basis. Documentation is used to determine expenditure accounts and establish the transaction as official city business.

If no documentation is present—or if the documentation is unacceptable—the Coordinator will first contact the cardholder and attempt to recover the documentation. Copies of receipts may be requested through Fleet Bank. Departments will be charged a fee of $7.50 per receipt copy. Copies can be requested by submitting the Transaction Dispute/Retrieval Form found on may be found at the City’s P-Card homepage: http://www.hartford.gov/purchasing/P_Card.htm. Continual loss of receipts by a cardholder will result in revocation of card privileges.

Documentation Best Practices

- **Be strict in enforcing documentation rules.**

  Sales receipts are the City’s principal source for line-item detail. The City has not only a financial responsibility, but also a legal responsibility to collect these receipts.

  Cardholder receipt retention and submission is a crucial and mandatory part of the P-Card process.

- **Do not allow cardholders to lose documentation.**

  The Transaction Dispute/Retrieval Form exists for exceptional cases, and should only be used as warranted.

Cardholders who fail to submit acceptable documentation should expect, at a minimum, their card activity to be scrutinized very carefully. Cardholders who have a history of failing to submit acceptable documentation may have their card privileges revoked.

Transaction Processing

All P-Card activity is subject to two recurring processes: the Ongoing Activity process and the Billing and Payment process. The Ongoing Activity process takes place on a weekly basis. The Billing and Payment Process takes place monthly, following the end of the billing cycle, and is performed by the Pre-Audit department

Ongoing Activity Process

Based on the Processing Schedule (Appendix B), cardholders submit their P-Card receipts to the designated Coordinator in their department. The cardholder is responsible for printing the Cost Allocation Detail Report for the specified time period. If cardholders do not have access to print the Cost Allocation Detail Report, they will request a printed copy from their Department Card Coordinator. Receipts are then attached to the report and forwarded to the department card coordinator. This information helps the Coordinator determine an appropriate expenditure account. It also helps the Coordinator to determine the need to split any transactions.

Transactions generally become available in SDOL approximately seventy-two hours after they are made. The Coordinator identifies and updates transactions posted in SDOL. Accounting information is entered for each transaction based on receipts-in-hand. At this stage, the Coordinator updates the following accounting information: Entity, Center, Account, Project and Function. Once accounting information is updated, the Coordinator checks the Supervisor reviewed flag as well as other flags as appropriate (goods not received, disputed item). Transaction information that is exported to SmartStream is based on the entry completed by the Department Card Coordinator.

Split Transactions

Occasionally, a cardholder may make a transaction that draws from more than one expenditure account. This is called a split transaction.

Cardholders are instructed to inform the Coordinator of the nature of their transactions when submitting transaction receipts, thereby giving the Coordinator an understanding of how to charge the transaction.

A transaction can be split up to 100 ways, either by flat amounts or by percentages. Transactions can also be un-split using the same worksheet. All information on splits should be noted on the back of the appropriate receipt or documentation. Please note that a split transaction is not the same as a split payment.

Pre-Audit Weekly Process

Overview

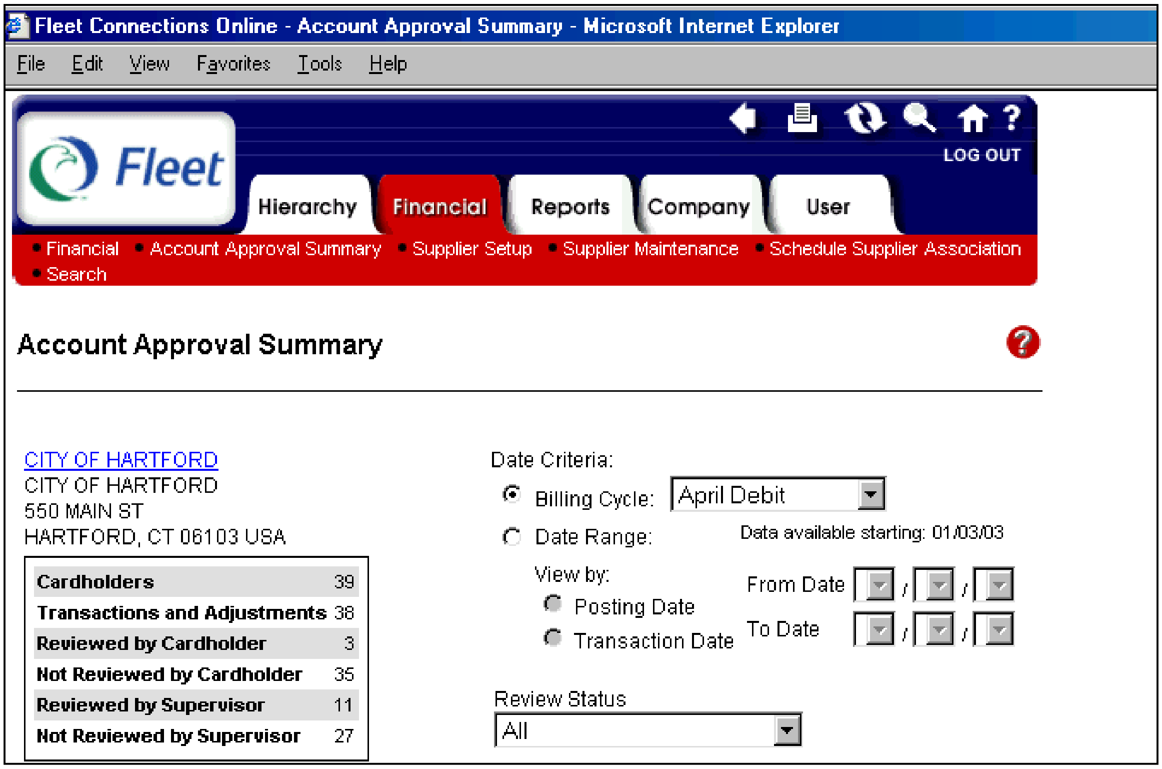
On a weekly basis, the cardholders will submit their receipts for the purchases that were posted to their account for that time period to the Department Card Coordinator. Along with the receipts will be a Cost Allocation Detail Report showing the transactions posted. The Department Card Coordinator will review and authorize each receipt and perform cost allocation in SDOL.

Based on the processing schedule, Appendix B, the posted transactions will be exported from SDOL by the Pre-Audit department. The exported transactions will then be used as input into the Microsoft Access program (COHpcard.mdb). This application will reformat the transactions for SmartStream and provide a means of performing GL validation of the accounting entries prior to loading into SmartStream.

Once the transactions have been loaded to SmartStream, the weekly activity from SDOL will be balanced to the transactions in SmartStream.

Review Status on SDOL

Prior to running the export from SDOL, review the status of the transactions to verify that both cardholders and Department Card Coordinators have reviewed them. Contact the Department Card Coordinator for any transactions that have not been reviewed. Refer to the hierarchy to determine the Department Card Coordinator for the cardholder.


Fleet Connections Online - Account Approval Summary - Microsoft Internet Explorer
File
Edit
View
Favorites
Tools
Help
Fleet
LOG OUT
Hierarchy
Financial
Reports
Company
User
Financial
Account Approval Summary
Supplier Setup
Supplier Maintenance
Schedule Supplier Association
Search

Account Approval Summary

CITY OF HARTFORD
CITY OF HARTFORD
550 MAIN ST
HARTFORD, CT 06103 USA

Cardholders	39
Transactions and Adjustments	38
Reviewed by Cardholder	3
Not Reviewed by Cardholder	35
Reviewed by Supervisor	11
Not Reviewed by Supervisor	27

Date Criteria:
● Billing Cycle: April Debit
○ Date Range: Data available starting: 01/03/03
View by:
○ Posting Date
○ Transaction Date
From Date / /
To Date / /

Review Status: All

Download from SDOL

Based on the processing schedule, Appendix B, the posted transactions will be exported from SDOL by the Pre-Audit department. The exported transactions will then be used as input into the Microsoft Access program (COHpcard.mdb). This application will reformat the transactions for SmartStream and provide a means of performing GL validation of the accounting entries prior to loading into SmartStream.

P-Card Access Program

After the transaction export file has been exported from SDOL, copied to the c:\pcard directory on your PC and named Fleet Export.txt, open the PCard mdb by clicking the icon on your desktop.

The mdb will open.

The main window will be displayed.

- Click the “Delete Prior Data” button to remove the prior week’s transactions.
- Click the “Import New Data” button to bring in this week’s SDOL export file.
- Click the “Validate Entries” button to check for invalid GL entries. A report will automatically display. The invalid accounting key values are listed by cardholder. Contact the Department Card Coordinator to resolve the errors. Reports are available in the Financial Reports mdb to email to departments to provide additional information if necessary. A separate GL account will be established on the Chart of Accounts for unallocated p-card transactions. The Departments will be responsible for clearing any balance in this account on a weekly basis. This account will only be used by Pre-Audit personnel if the correct GL account cannot be established within the processing schedule.

Adjust the codes using the “Correct Errors” button. This will display all the errors. Enter the correct values.

Once all the errors have been corrected, the transactions can be formatted and exported.

Click the “Format and Export Transactions” button.

Exit the mdb.

SmartStream Processing

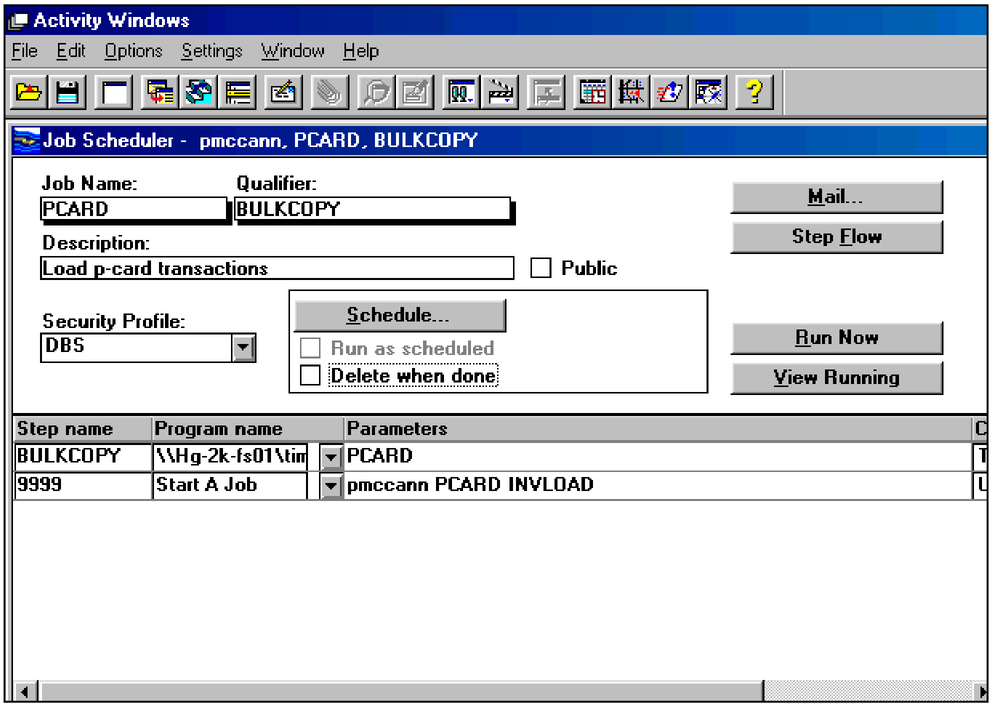
Overview

After the transactions have been validated and reformatted for SmartStream, the Invoice Load program can be run. The Control Group ID used for all p-card transactions is N-PCARD in the Payable Entity of HART. The “invoice” transactions have been formatted to create an “invoice” per day’s SDOL posting. Each line on the invoice represents a separate posted MasterCard SDOL transaction.

Batch loading of invoices is a two-step process. First the transactions must be bulk-copied from the network to the server. The second step actually performs the loading of the invoices. If errors occur during the process, message will be routed to your To Do List.

Job Scheduler

Access the Job Scheduler Activity.


Activity Windows
File
Edit
Options
Settings
Window
Help
Mail...
Step Flow
Schedule...
Run Now
View Running

Job Scheduler - pmccann, PCARD, BULKCOPY

Job Name: PCARD

Qualifier: BULKCOPY

Description: Load p-card transactions

☐ Public

Security Profile: DBS

☐ Run as scheduled

☐ Delete when done

Step name	Program name	Parameters	C
BULKCOPY	\\Hg-2k-fs01\tim	PCARD	T
9999	Start A Job	pmccann PCARD INVLOAD	U

Enter the Job Name “PCARD” and Qualifier of “BULKCOPY” and Tab.

Click the “Run Now” button. The job will run and start the load process immediately after the bulk copy has completed.

Review messages sent via email from the job results.

Verify that the invoices loaded correctly by opening the Invoice Control Group activity for the batch. All invoices should have a status of Pending. The Control Group reports in the City Financial Reports can optionally be run to provide additional detail documentation.

Weekly Balancing

Verify the total of the Control Group agrees to the Card Program Analysis report – first 5 lines report from SDOL for the appropriate time period.

Filing of Documentation

Department Card Coordinators will provide all transaction receipts to Pre-Audit. File the receipts and supporting reports (Cost Allocation Detail and Card Program Analysis reports) pending the monthly process.

If no receipt is available for a transaction the DCC will have the Cardholder complete a "Missing Receipt Waiver Form" and forward it with the Department's weekly statement to Pre-Audit. If a "Missing Receipt Waiver Form" is received make a copy and send it to the Program Administrator.

Pre-Audit Monthly Process

Overview

Fleet Bank will:

- Generate and mail a monthly statement to the Finance Department for all p-card activity. The monthly statement debit amount can be obtained from SDOL by either pulling or scheduling a report (Card Program Analysis) based on the City's billing cycle. The billing cycle for the City's p-card program is end of month.
- Fleet will automatically Debit the funds from the DDA account via ACH on the 15th business day following the end of month. The reconciliation of the weekly transaction totals to the monthly statement must occur on a timely basis.

Once the statement has been reconciled, the weekly "invoices" in SmartStream must be approved and scheduled for payment. A payment process must be completed in SmartStream in order to:

- Mark the "invoices" as paid
- Generate cash entries to General Ledger
- Generate journal entries for Cash Allocation for the Cash Summary report

After the “payment” process is completed in SmartStream, the Treasurer’s Department will receive the Cash Summary Report and a copy of the cover page of the statement so that they can prepare the funds transfer to the DDA account. The Treasurer’s Department will also be granted access to SDOL in order to pull monthly reports, specifically the Card Program Analysis report.

Statement Reconciliation

Once the monthly statement has been received, run the Statement Reconciliation report in the pcard.mdb for the appropriate time period. The totals should balance.

If the statement does not balance to the report, a reports will be available based on the SDOL hierarchy within the pcard.mdb to facilitate research of out of balance conditions.

SmartStream

After the statement reconciliation is completed, the “invoices” associated with the monthly activity must be approved. Follow the established procedures for invoice approval.

Setup the Payment Controls for Payable Entity HART and Payment Method WPCRD. Run Payments. Follow the established procedures for payment processing.

Notification to Treasurer’s Department

Prepare the packet for the Treasurer’s Department. This packet should include the Cash Summary Report for p-card activity as well as a copy of the cover page from the Fleet Monthly Statement that shows the total amount due for the period.

Audit of Documentation

Once the statement has been reconciled and payment process has been completed, assemble the receipt packets associated with the monthly statement. A random audit of receipts and card activity should be performed. During the pilot program, all receipts will be audited. Thereafter, a random audit method will be instituted by the Finance Department. A minimum of three (3) pages of the monthly statement will be reviewed in detail. Any missing receipts will be noted on the Missing Documentation Audit Log (Appendix E). Cardholders and/or Department Card Coordinators are expected to supply receipts or the acceptable substitutes upon request from Pre-Audit. Repeat offenders will be reported to the Program Administrator for action, including loss of card privileges.

Archival of Documentation

Receipt packets, Cost Allocation Detail Reports and the Monthly Statement should be packaged together and scanned. Original receipts submitted should be retained according to established document retention policy – in the event of credits required for goods not received, returns, etc. Filed receipts that are pulled on request by the Department Card Coordinator need their position in the file bookmarked and a tickler file system set up so that Pre-Audit can ensure that any receipts released for credit/return are returned to Pre-Audit with the credit slip.

Auditing

Each department conducts simple transaction auditing as part of the Ongoing Activity.

P-Card auditing activity is nearly identical to auditing activity performed under the old system. Department Administrators and Coordinators review transaction receipts and billing statements for completeness, accuracy, and propriety, thereby ensuring that the P-Card is being used properly.

Departments may also request that the Finance and Procurement Services pay special attention to certain activity in their auditing activities. To do this, inform the Program Administrator in writing of your request. The Program Administrator will coordinate the efforts of Finance and Purchasing Department staff to accommodate your request.

What to Look for When Auditing

- An obviously split payment (i.e., consecutive transactions at a single vendor that collectively exceed the cardholder's per-transaction spending limit)
- A transaction at an unfamiliar or unknown vendor.
- A transaction that appears to circumvent an existing City or State contract.
- A transaction that appears to be non-official.
- A transaction that is not consistent with the cardholder's historical activity.
- A transaction that violates citywide or departmental policies.

Any of these instances should first be investigated with the cardholder to clear up any possible misunderstanding, and then referred in writing to the Program Administrator and Department Head.

Auditing Best Practices

- **Review transaction receipts closely.**

  Except in the case of vendors who have advanced data-capture abilities, transaction receipts are the City's principal source of line-item detail for P-Card purchases. Scrutinize the receipts when they are received, and look over them again before they are approved for payment.

If a cardholder has a history of failing to produce acceptable transaction receipts, you should be concerned and this should be addressed with the cardholder.

- **Emphasize activity that you feel requires special attention.**

  As department-level administrators, you are most familiar with your employees. Focus on cardholders or high-value activities that most need auditing. Never fail to review transaction activity, but direct your energy where it is most needed.

- **Better safe than sorry.**

  If something looks even a little suspicious, inform the Program Administrator.

Disputes

As a MasterCard customer, the City of Hartford has the right to dispute inaccurate billings. These disputes are detected at the cardholder and/or department card coordinator level.

During the Ongoing Activity process, cardholders reconcile their receipts to the transactions on SDOL. The department card coordinators complete an additional review.

Disputable items may take one of a number of forms:
- Unrecognized/unauthorized charge
- Incorrect charge amount
- Duplicate charge
- Returned item not credited

If any of these become apparent through the Billing and Payment process, the transaction may be disputable. Disputes may also be initiated when a vendor refuses to accept a return, or refuses to exchange an incorrect order.

The first step in disputing a transaction is for the cardholder to address with the merchant. If the cardholder is unsuccessful then a Transaction Dispute/Retrieval Form should be completed. Forward this form and a memo describing the situation to the Program Administrator. The Program Administrator will handle the disputed items with Fleet Bank. Be sure to check the “Dispute” box in the SDOL Financial Transaction Summary screen.

Disputed Items Best Practice

•Always inform the Program Administrator when investigating a dispute.

NOTE: The information and forms contained in these appendices may be updated from time to time. The latest revisions will always be available on the web at: http://www.hartford.gov/purchasing/P_Card.htm

Appendix A – P-Card Responsibilities

Responsibilities of the Cardholder

- Use the P-Card to purchase in accordance with policies articulated in the Cardholder Manual, Program Manual, and other materials circulated by the Program Administrator and his/her Department Card Coordinator (DCC);
- Ensure that you have enough money in an appropriate department account before you make a purchase. In most cases this means checking with your DCC;
- Ensure receipt of merchandise; follow up with vendors to resolve problems and arrange for returns, credits, etc;
- Notify your DCC if any vendor issues cannot be resolved;
- **Keep** itemized receipts **and** other itemized supporting documentation for each p-card transaction;
- Submit itemized receipts that are complete, accurate, and all-inclusive with any supporting documentation for each transaction to your DCC at least weekly;
- Note on the receipt what the item is for / where it was used;
- Detect discrepancies and dispute inaccurate transaction billings;
- Report disputed items to your Department Card Coordinator;
- Safeguard your card (card number and expiration date) at all times;
- Be responsible for all purchases made with the P-Card that displays your name;
- Obtain credit for, or repay, improper charges;
- Report lost or stolen cards to Fleet Bank immediately (1-800-782-0279);
- Participate in focus and discussion groups with the Program Administrator.

Responsibilities of the Departmental Card Coordinator (DCC)

- Receive cardholder receipts and documentation based on the processing schedule;
- Review receipts and supporting documentation ensuring that items are clearly identified, appropriate and in keeping with procurement guidelines;
- Assign expenditure accounts to each transaction based on the Processing Schedule;
- Use Smart Data Online (SDOL) to edit transactions — assign expenditure accounts, add descriptions, split transactions, etc.—on an ongoing basis;
- Reconcile Smart Data Online printout to cardholder receipts that have been turned in;
- Detect discrepancies and dispute inaccurate transaction billings;
- Report questionable activity to the Program Administrator;
- Participate in focus and discussion groups with the Program Administrator.

Responsibilities of the Department Head/Director or designee

- Periodically review card activity documentation compiled by the Department Card Coordinator for appropriate use of department budgetary funds;
- Maintain departmental policies regarding P-Card use (as necessary) and inform the Program Administrator of these policies;
- Designate an individual to assume responsibility for the timely processing of p-card transactions (Department Card Coordinator). Ensuring that there is back up staff in the event of Department Card Coordinator absence;
- Work with the Program Administrator to create and maintain a reporting hierarchy for the department;
- Receive and approve/deny employee applications to hold a P-Card;
- Work with the Program Administrator to set spending limits for cardholders and the department;
- Report questionable activity to the Program Administrator;
- Participate in focus and discussion groups with the Program Administrator.

Responsibilities of the Finance Department, Pre-Audit Division

- Receive, review, and file receipt packets and supporting reports;
- Review department-approved transactions for appropriate allocation and sufficient cash-in-fund;
- Review card activity documentation—including Smart Data Online printouts, statements, and receipts—for propriety;
- Work with the Program Administrator to set spending limits for cardholders and the department;
- Reconcile Smart Data Online printout to applicable billing statement at the end of each billing cycle;
- Generate export files from SDOL as required;

Responsibilities of the Treasurer's Department

- Monitor cash flow requirements on a weekly basis using summary transaction data accumulated through Smart Data Online (SDOL).
- Transfer funds sufficient to meet the City's obligation into the DDA set up for Fleet Bank, within 15 business days of the end of the monthly cycle.
- Reimburse Fleet Bank for the City's total card activity every cycle.

Responsibilities of the Procurement Services

- Use Smart Data Online to conduct visual audits and review transactions for compliance with purchasing and P-Card guidelines
- Review card activity for propriety
- Manage P-Card vendor relationships

Responsibilities of the Program Administrator

- Create and maintain a Citywide reporting hierarchy;
- Receive and approve/deny employee applications to hold a P-Card;
- Process changes to spending limits and MCC's as required
- Receive allegations of non-compliance and take further action as necessary;
- Receive exception reports from Fleet Bank's fraud department and take further action as necessary;
- Organize and track disputed-item claims;
- Review P-Card usage policies for effectiveness and make revisions as necessary;
- Maintain files as directed in the Program Manual;
- Develop and conduct Cardholder and Departmental Training sessions;
- Coordinate staff efforts in the Finance and Purchasing Departments;
- Main contact for Fleet Bank;
- Hold focus and discussion groups to communicate with departmental managers, staff, and cardholders.

Appendix B – Processing Schedule

Calendar Dates		**Transaction Posting Dates used on SDOL Cost Allocation Detail Report (with supporting receipts)**		**Cardholder**	**DCC**	**Pre-Audit**
				Receipts and Account Summary and SDOL Due to DCC	**Receipt Review and SDOL Cost Allocation Completed by 12:00 p.m.**	**Download from SDOL, GL Validation, and load to SmartStream after 12:00 p.m.**
From	Through	From	Through			
4/1/04	4/9/04	4/1/04	4/7/04	4/8/04	4/12/04	4/12/04
4/10/04	4/16/04	4/9/04	4/15/04	4/16/04	4/19/04	4/19/04
4/17/04	4/23/04	4/16/04	4/22/04	4/23/04	4/26/04	4/26/04
4/24/04	4/30/04	4/23/04	4/29/04	4/30/04	5/3/04	5/3/04
5/1/04	5/7/04	4/30/04	5/6/04	5/7/04	5/10/04	5/10/04
5/8/04	5/14/04	5/7/04	5/13/04	5/14/04	5/17/04	5/17/04
5/15/04	5/21/04	5/14/04	5/20/04	5/21/04	5/24/04	5/24/04
5/22/04	5/28/04	5/21/04	5/27/04	5/28/04	6/1/04	6/1/04
5/29/04	6/4/04	5/28/04	6/3/04	6/4/04	6/7/04	6/7/04
6/5/04	6/11/04	6/4/04	6/10/04	6/11/04	6/14/04	6/14/04
6/12/04	6/18/04	6/11/04	6/17/04	6/18/04	6/21/04	6/21/04
6/19/04	6/25/04	6/18/04	6/24/04	6/25/04	6/28/04	6/28/04
6/26/04	7/2/04	6/25/04	7/1/04	7/2/04	7/6/04	7/6/04
7/3/04	7/9/04	7/2/04	7/8/04	7/9/04	7/12/04	7/12/04
7/10/04	7/16/04	7/9/04	7/15/04	7/16/04	7/19/04	7/19/04
7/17/04	7/23/04	7/16/04	7/22/04	7/23/04	7/26/04	7/26/04
7/24/04	7/30/04	7/23/04	7/29/04	7/30/04	8/2/04	8/2/04
7/31/04	8/6/04	7/30/04	8/5/04	8/6/04	8/9/04	8/9/04
8/7/04	8/13/04	8/6/04	8/12/04	8/13/04	8/16/04	8/16/04
8/14/04	8/20/04	8/13/04	8/19/04	8/20/04	8/23/04	8/23/04
8/21/04	8/27/04	8/20/04	8/26/04	8/27/04	8/30/04	8/30/04
8/28/04	9/3/04	8/27/04	9/2/04	9/3/04	9/7/04	9/7/04
9/4/04	9/10/04	9/3/04	9/9/04	9/10/04	9/13/04	9/13/04
9/11/04	9/17/04	9/10/04	9/16/04	9/17/04	9/20/04	9/20/04
9/18/04	9/24/04	9/17/04	9/23/04	9/24/04	9/27/04	9/27/04
9/25/04	10/1/04	9/24/04	9/30/04	10/1/04	10/4/04	10/4/04
10/2/04	10/8/04	10/1/04	10/7/04	10/8/04	10/12/04	10/12/04
10/9/04	10/15/04	10/8/04	10/14/04	10/15/04	10/18/04	10/18/04
10/16/04	10/22/04	10/15/04	10/21/04	10/22/04	10/25/04	10/25/04
10/23/04	10/29/04	10/22/04	10/28/04	10/29/04	11/1/04	11/1/04
10/30/04	11/5/04	10/29/04	11/4/04	11/5/04	11/8/04	11/8/04
11/6/04	11/12/04	11/5/04	11/11/04	11/12/04	11/15/04	11/15/04
11/13/04	11/19/04	11/12/04	11/18/04	11/19/04	11/22/04	11/22/04
11/20/04	11/26/04	11/19/04	11/25/04	11/24/04	11/29/04	11/29/04
11/27/04	12/3/04	11/26/04	12/2/04	12/3/04	12/6/04	12/6/04
12/4/04	12/10/04	12/3/04	12/9/04	12/10/04	12/13/04	12/13/04
12/11/04	12/17/04	12/10/04	12/16/04	12/17/04	12/20/04	12/20/04
12/18/04	12/24/04	12/17/04	12/23/04	12/23/04	12/27/04	12/27/04
12/25/04	12/31/04	12/24/04	12/30/04	12/30/04	1/3/05	1/3/05
1/1/05	1/7/05	12/31/04	1/6/05	1/7/05	1/10/05	1/10/05

Appendix C – Contact Information

Contact Information

Program Administrators

Livie Spearman, Senior Principal Administrative Analyst
Procurement Services, Finance Department
City Hall
550 Main Street
Hartford, CT 06457
Phone: 860-522-4888, Extn: 6082
FAX: 860-722-6607
speal001@hartfordschools.org

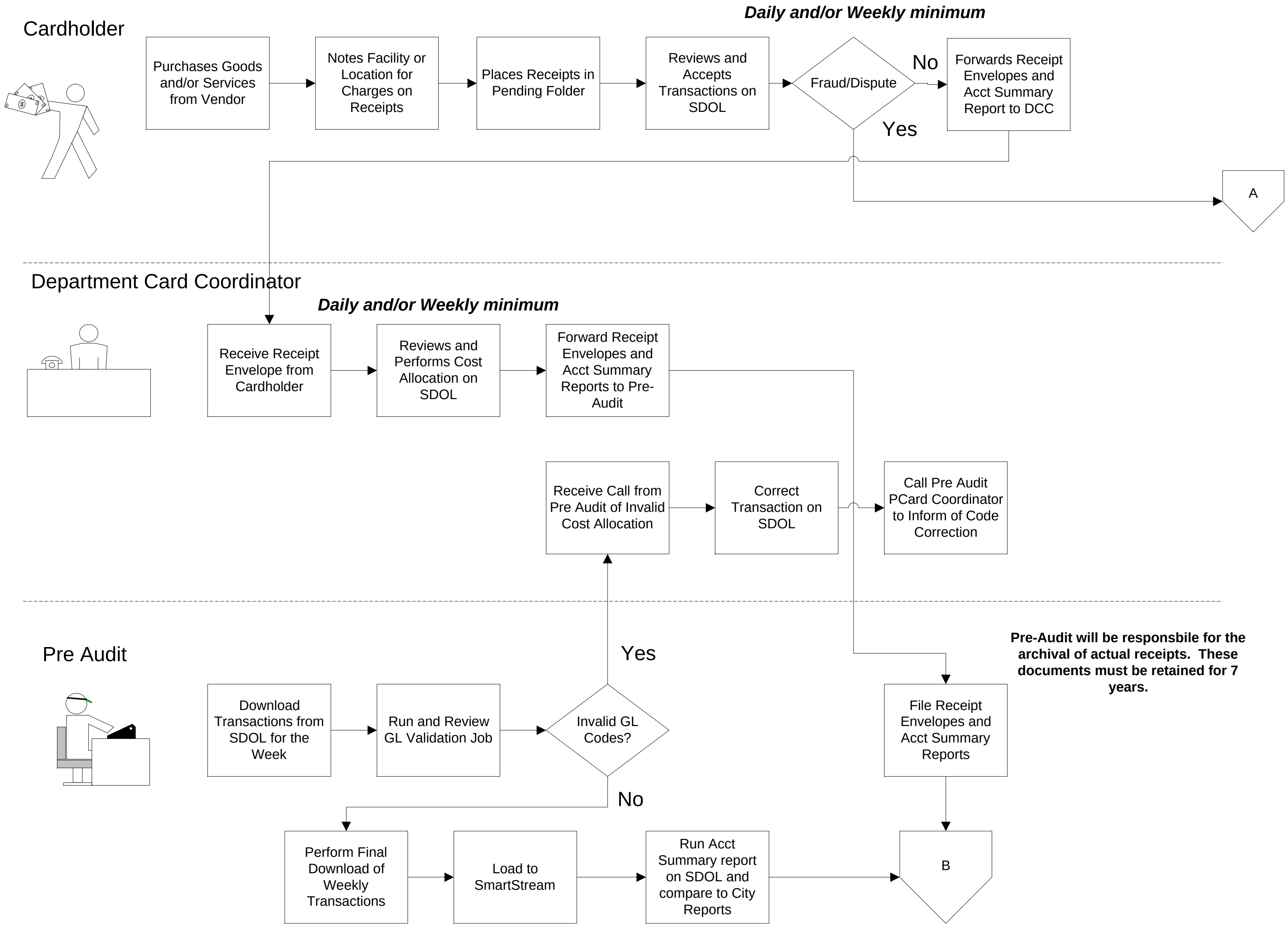
Susan Sheppard, Administrative Clerk
Procurement Services, Finance Department
City Hall
550 Main Street
Hartford, CT 06457
Phone: 860-522-4888, Extn: 6088
FAX: 860-722-6607
smsheppard@hartford.gov

Fleet Bank

Customer Service: 1-800-332-1914
Lost and Stolen Cards: 1-800-332-1914
Card Activation: 1.800.519.1195

Appendix D

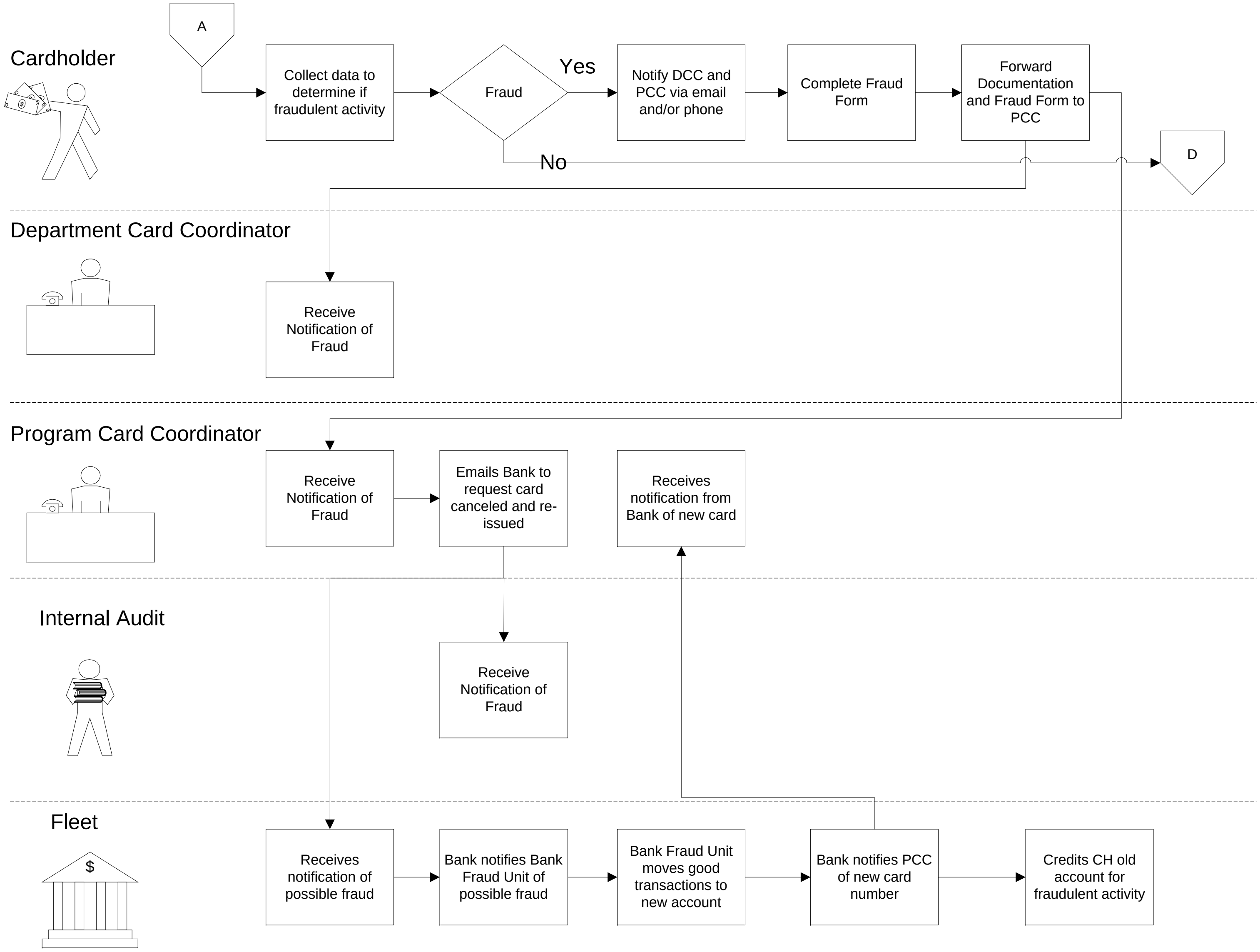
Daily/Weekly Process Flows


Cardholder
Daily and/or Weekly minimum
Purchases Goods and/or Services from Vendor
Notes Facility or Location for Charges on Receipts
Places Receipts in Pending Folder
Reviews and Accepts Transactions on SDOL
Fraud/Dispute
No
Yes
Forwards Receipt Envelopes and Acct Summary Report to DCC
A
Department Card Coordinator
Daily and/or Weekly minimum
Receive Receipt Envelope from Cardholder
Reviews and Performs Cost Allocation on SDOL
Forward Receipt Envelopes and Acct Summary Reports to Pre-Audit
Receive Call from Pre Audit of Invalid Cost Allocation
Correct Transaction on SDOL
Call Pre Audit PCard Coordinator to Inform of Code Correction
Pre Audit
Yes
Download Transactions from SDOL for the Week
Run and Review GL Validation Job
Invalid GL Codes?
No
File Receipt Envelopes and Acct Summary Reports
Perform Final Download of Weekly Transactions
Load to SmartStream
Run Acct Summary report on SDOL and compare to City Reports
B

Pre-Audit will be responsbile for the archival of actual receipts. These documents must be retained for 7 years.

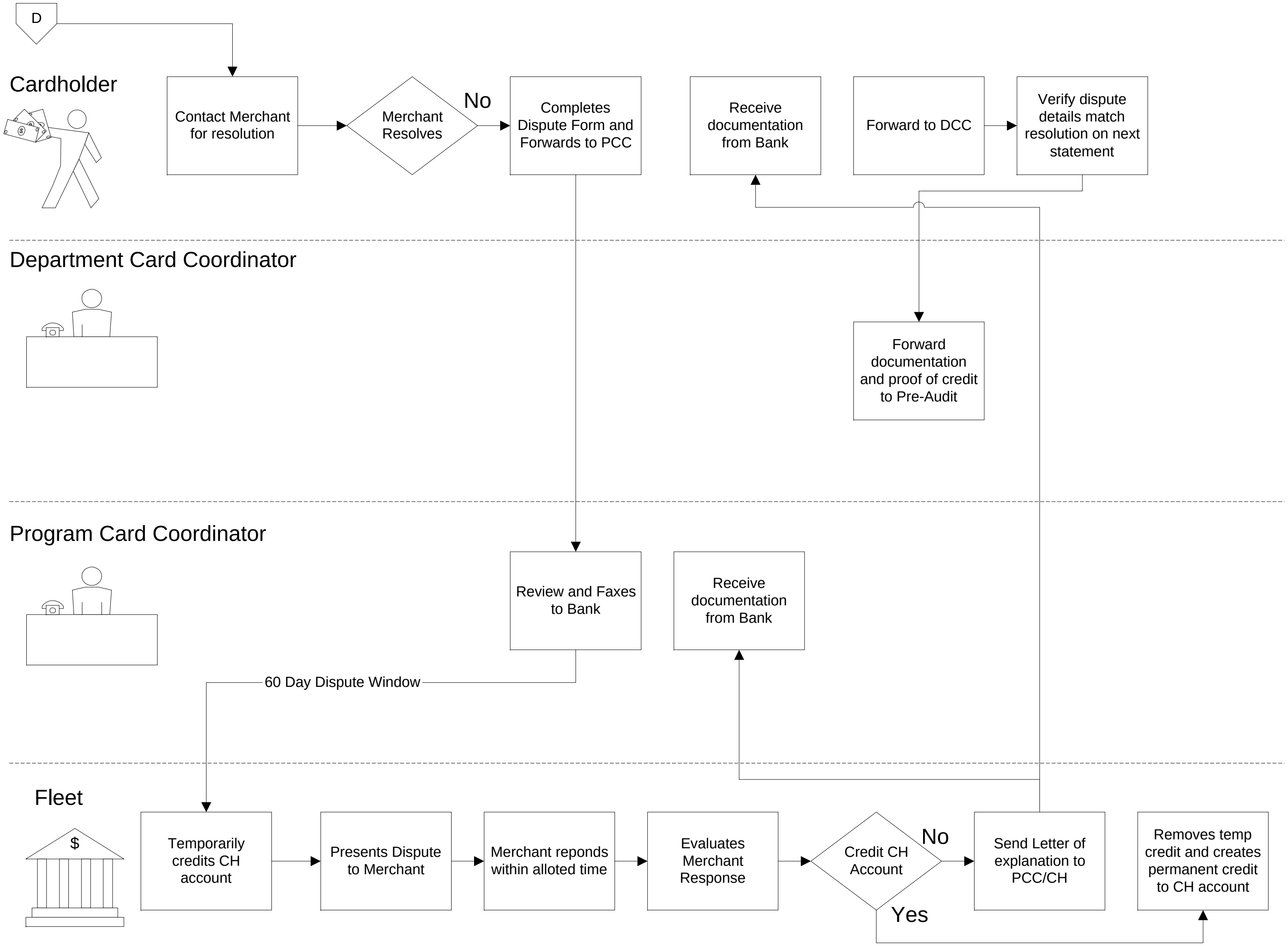
Appendix D - continued

Fraud Process Flows

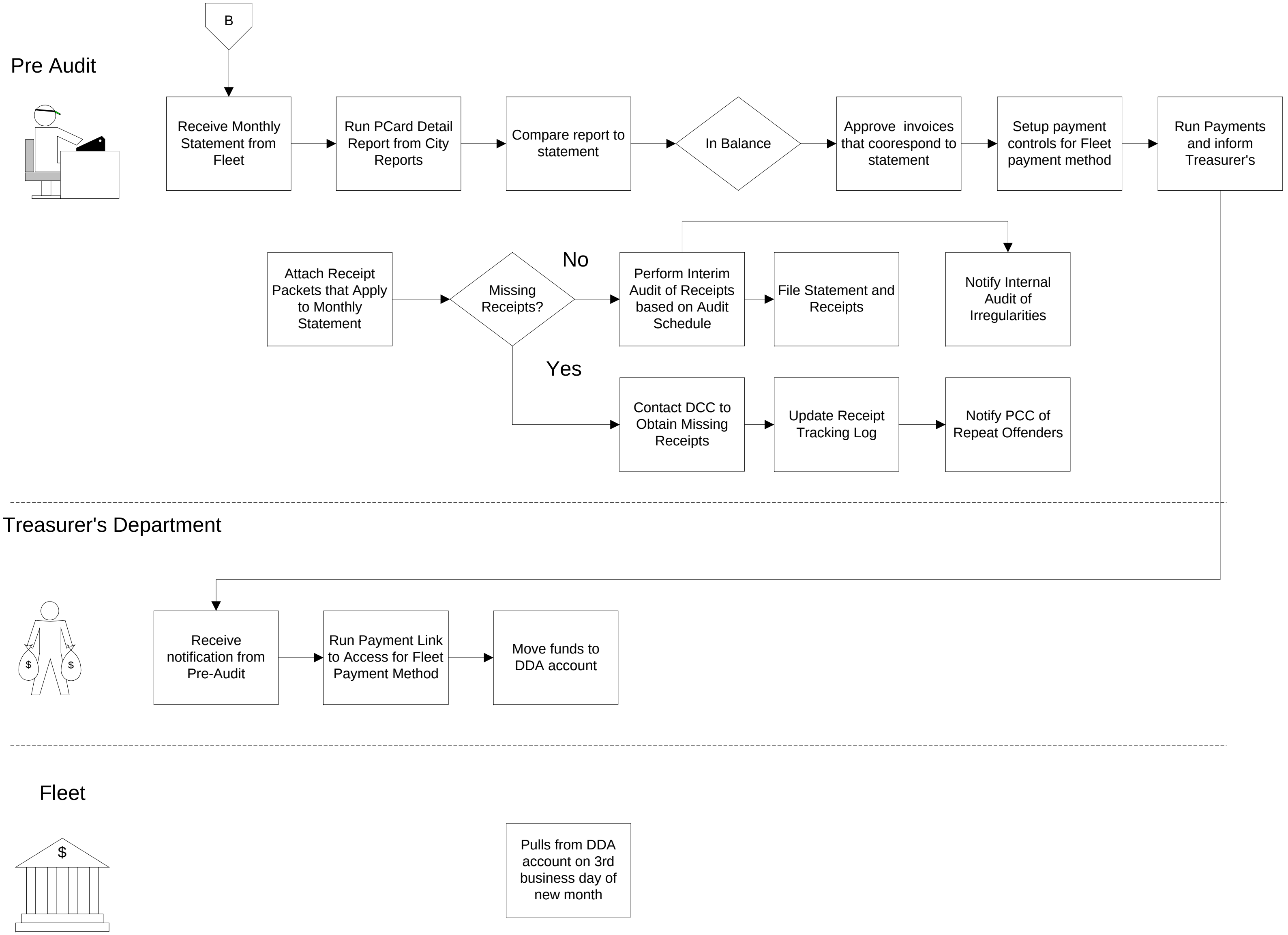

A
Cardholder
Collect data to determine if fraudulent activity
Fraud
Yes
Notify DCC and PCC via email and/or phone
Complete Fraud Form
Forward Documentation and Fraud Form to PCC
No
D
Department Card Coordinator
Receive Notification of Fraud
Program Card Coordinator
Receive Notification of Fraud
Emails Bank to request card canceled and re-issued
Receives notification from Bank of new card
Internal Audit
Receive Notification of Fraud
Fleet
$
Receives notification of possible fraud
Bank notifies Bank Fraud Unit of possible fraud
Bank Fraud Unit moves good transactions to new account
Bank notifies PCC of new card number
Credits CH old account for fraudulent activity

Appendix D - continued

Dispute Process Flows


D
Cardholder
Contact Merchant for resolution
Merchant Resolves
No
Completes Dispute Form and Forwards to PCC
Receive documentation from Bank
Forward to DCC
Verify dispute details match resolution on next statement
Department Card Coordinator
Forward documentation and proof of credit to Pre-Audit
Program Card Coordinator
Review and Faxes to Bank
Receive documentation from Bank
60 Day Dispute Window
Fleet
$
Temporarily credits CH account
Presents Dispute to Merchant
Merchant reponds within alloted time
Evaluates Merchant Response
Credit CH Account
No
Yes
Send Letter of explanation to PCC/CH
Removes temp credit and creates permanent credit to CH account

Appendix D - continued
Monthly Payment Process Flows


B
Pre Audit
Receive Monthly Statement from Fleet
Run PCard Detail Report from City Reports
Compare report to statement
In Balance
Approve invoices that coorespond to statement
Setup payment controls for Fleet payment method
Run Payments and inform Treasurer's
Attach Receipt Packets that Apply to Monthly Statement
Missing Receipts?
No
Perform Interim Audit of Receipts based on Audit Schedule
File Statement and Receipts
Notify Internal Audit of Irregularities
Yes
Contact DCC to Obtain Missing Receipts
Update Receipt Tracking Log
Notify PCC of Repeat Offenders
Treasurer's Department
$
$
Receive notification from Pre-Audit
Run Payment Link to Access for Fleet Payment Method
Move funds to DDA account
Fleet
$
Pulls from DDA account on 3rd business day of new month

Appendix E – Missing Documentation Form

Lack-of-Documentation Waiver Statement

______________________ I, acknowledge that I am unable to submit acceptable documentation for the purchasing card transaction made
(print name)

at ____
(vendor)

on _______________
(date)

in the amount of: $ ____________.
(amount)

Please describe the purchase:

____

____

I certify that the above referenced transaction was a proper use of my City of Hartford Purchasing Card and was consistent with all applicable city and departmental policies.

____________ ____________________________ _______
Department Signature Date